

Implementation Guide
to the
Postsecondary Electronic Standards Council



XML Standard Format
for the
Academic Record Batch
Version 1.0.0

D R A F T
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Introduction

For the secondary and higher education communities to achieve the timely, uniform, accurate, and secure exchange of academic records for current or previous secondary and postsecondary students, the Postsecondary Electronic Standards Council (PESC) has developed and seeks approval for a standard format in eXtensible Markup Language (XML) for an Academic Record Batch Transmission Envelope. This Draft Implementation Guide proposes a format for Batch Envelope that can contain an unlimited number of Academic Record documents. These documents may derive from several different XML Schemas and do not necessarily reference each other. The documents may typically include secondary and postsecondary transcripts, applications for admission, transcript requests, transcript responses and transcript acknowledgements.

Besides its obvious use for secondary and postsecondary educational institutions, this Guide should also be useful for software vendors and state and federal education agencies.

Educational institutions send academic record documents such as high school and postsecondary transcripts to other educational institutions. Although these documents can be sent as single transmissions through various transport protocols, a common method is to utilize a central server set up in a “hub-and-spoke” architecture to act as a clearinghouse for those institutions that are joined together as a unified federation. Several such federations have already been formed at the state, province and national level.

In a federated central server model it is typical for institutions to send and receive transactions that consist of several different documents in a single batch transmission. However because of the syntax of XML, multiple documents cannot be appended in a single file because the resulting document will not be “well-formed” XML and will be rejected by most parsers. This Academic Record Batch XML Schema provides one solution to that issue.

This Implementation Guide is based on the PESC XML Academic Record Batch Schema draft version 1.0.0. The electronic exchange of PESC XML student documents does not require the use of this Batch Schema but it may be specified by certain automated exchange processes. It is recommended that practitioners understand and comply with the requirements outlined in this Guide where its’ use is specified.

Purpose of the Academic Record Batch envelope

The Academic Record Batch envelope serves the following functions:

- a. It allows the concatenation of multiple distinct XML documents into a single document that is itself a valid, well formed, schema validated XML document.
- b. The child documents may each have their separate namespaces which can be validated against their respective schemas. Documents can be a mixture of different academic record types and may be bundled in any order.
- c. No modification to the original child documents is necessary. When extracted from the Batch envelope the documents can stand alone as well-formed, validated XML.
- d. The Batch envelope is lightweight. It requires a single tag pair around the concatenated documents. There is no requirement for document indexes or addressing information except as originally specified in the child documents.

Techniques for Use of the Academic Record Batch envelope

Overview: This schema was developed for use with a document exchange service such as the Texas Server operated by the University of Texas. It may be used in other similar services or in other applications that require this use of batch processing of multiple logical XML documents. The following is a description of a typical store-and-forward documents exchange process that illustrates how the batch envelope may be used.

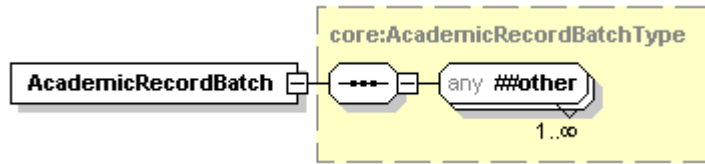
By Sender of Original Student Documents: The sender generates or assembles all XML documents that are intended to be transmitted in a single batch. These documents are concatenated into a single file, without other modification. The entire resulting document is placed within the AcademicRecordBatch XML tag pair and the complete resulting file is stored with the extension .xml. This document is then transmitted to the recipient using a protocol such as sftp, https etc. The recipient may be the final logical destination of the documents such as another institution or agency or it may be sent to a document server for additional routing.

By Document Exchange Service: (If used.) The XML batch file is received and parsed into individual logical documents. These now multiple XML documents can be further processed according to the specifications of the individual service. For example, these documents may be examined for header information such as destination address and sorted by destination. They may be grouped together with other documents addressed to the same destination that may have come from multiple sources. When the batch of documents is assembled for transmission, they are concatenated into a single file as in the previous step and the resulting document is placed within the AcademicRecordBatch XML tag pair. This single document may then be transmitted.

Special note: The exchange service or any other recipient must be aware and be familiar with the type of content being delivered. Generally this means that the exchange service or other recipient has installed all XML schemas that describe any of the received document types. Unfamiliar documents may be rejected as unsupported or impossible to interpret. The list of acceptable document types, schemas and versions may vary by service or recipient. The Academic Record Batch Schema does not specify or restrict the associated schema types that may be transmitted. In theory, any well-formed XML documents may be transmitted in this manner. This Implementation Guide recommends that only PESC-approved XML standard documents be included in the Academic Record Batch document but this is not enforced at the schema level. Users and exchange federations may determine the acceptable use of their service and by extension which documents may be transmitted in this format.

By Final Receiver of the Original Student Documents: The XML batch file is received and parsed into individual logical documents. These now multiple XML documents can be further processed according to the specifications of the individual institution or agency.

Academic Record Batch



Tag Name	Schema Use	Description	Recommended Use	Format
AcademicRecordBatch	Required	Used to create a place holder and root element to contain multiple logical XML documents that are bundled for a single batch transmission	Required	minOcc 1 maxOcc ∞ processContents Strict namespace ##other

Code illustration:

```
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<AcRecBat:AcademicRecordBatch xmlns:AcRecBat="urn:org:pesc:message:AcademicRecordBatch:v1.0.0"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="urn:org:pesc:message:AcademicRecordBatch:v1.0.0
AcademicRecordBatch.xsd">
  <ColTrn:CollegeTranscript xmlns:ColTrn="urn:org:pesc:message:CollegeTranscript:v1.0.0"
xmlns:AcRec="urn:org:pesc:sector:AcademicRecord:v1.0.0" xmlns:core="urn:org:pesc:core:CoreMain:v1.0.0"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="urn:org:pesc:message:CollegeTranscript:v1.0.0
CollegeTranscript_v1.0.0.xsd">
    [first document]
  </ColTrn:CollegeTranscript>
  <ColTrn:CollegeTranscript xmlns:ColTrn="urn:org:pesc:message:CollegeTranscript:v1.0.0"
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xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="urn:org:pesc:message:CollegeTranscript:v1.0.0
CollegeTranscript_v1.0.0.xsd">
    [second document]
  </ColTrn:CollegeTranscript>
  <TrnAck:TranscriptAcknowledgment
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XMLns:core="urn:org:pesc:core:CoreMain:v1.3.0"
XMLns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="urn:org:pesc:message:
TranscriptAcknowledgment:v1.0.0
/TranscriptAcknowledgment_v1.0.0.xsd">
    [third document]
  </TrnAck:TranscriptAcknowledgment>

  [etc.]

</AcRecBat:AcademicRecordBatch>
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Appendix A – Sample XML Academic Record Batch Document

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xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="urn:org:pesc:message:CollegeTranscript:v1.0.0
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